

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Steven M.H. WALLMAN

Serial No.: 10/627,626

Filed: July 28, 2003

For: METHOD AND APPARATUS FOR
ENABLING INDIVIDUAL OR
SMALLER INVESTORS OR OTHERS TO
CREATE AND MANAGE A
PORTFOLIO OF SECURITIES . . .

Examiner: Mr. Daniel Lawson Greene

Art Unit: 3694

Confirmation No.: 4309

PRELIMINARY AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Prior to examination of the above-referenced application, please amend the application as follows:

Amendments to the Claims begins on page 2.

Remarks begin on page 6.